
	ENVIRONMENTAL PROTECTION AGENCY REGION 10 STANDARD OPERATING PROCEDURE	SOP
		Revision 1
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	STANDARD OPERATING PROCEDURES	Effective Date: 5/30/2014

SAFEGUARDING ESSENTIAL (VITAL) RECORDS IN THE CRC PROCEDURES IN REGION 10

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	R10 Regional Records Program	U.S.EPA Region 10	5/30/2014
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1. PURPOSE AND APPLICABILITY

This procedure identifies specific requirements, processes and supporting documents required to manage Essential Records. Note: Formerly called vital records, the terminology has changed from “vital records” to “essential records,” in coordination with NARA, to adhere to accepted definitions.

2. AUDIENCE

The audience for these procedures is the R10 Regional Records Program staff.

3. BACKGROUND

Every federal agency is required by regulation to manage records in accordance with Federal standards. The R10 Executive Team (ET) made a decision to have a consolidated records center, the Central Records Center (CRC), in Region 10. The CRC will provide orderly arrangement and secure control of records. The CRC will be managed by records management professionals. These procedures will outline storage procedures of Essential Records in the CRC.


The essential records program is one element of the Agency’s emergency management and disaster preparedness and records management functions. EPA must identify and protect those records that specify how EPA organizations will operate in case of an emergency or disaster and those records essential to the continued operations of the Agency.

4. AUTHORITY

- 44 U.S.C. Chapter 33, Sec. 3301
 - 36 CFR Part 1223 – Managing Vital Records
 - EPA Vital Records Procedures – CIO 255.P-01.0
 - U.S. EPA – Records Management Policy (EPA 2161)
 - Federal Continuity Directive 1
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5. DEFINITIONS

- Records include all books, papers, maps, photographs, machine readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other

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- activities of the Government or because of the informational value in them. (Taken from 44 U.S.C. Chapter 33, Sec. 3301)
- Versatile Enterprise (VE) is the database software used to track active files in EPA offices, as well as retired records stored at the Federal Records Center (FRC) facility.
 - Essential records: Information systems and applications, electronic and hardcopy documents, references, and records needed to support essential functions during a continuity event. The two basic categories of essential records are emergency operating records, and rights and interest records. Emergency operating records are essential to the continued functioning or reconstitution of an organization. Rights and interest records are critical to carrying out an organization's essential legal and financial functions and vital to the protection of the legal and financial rights of individuals who are directly affected by that organization's activities. The term "vital records" refers to a specific sub-set of essential records relating to birth, death, and marriage documents.
 - Essential records inventory: A list identifying the records designated as vital or essential. The list includes other identifying information such as, where the records are located, who is responsible for them, when they are updated, and similar information.
 - Essential records program: The policies, plans and procedures developed and implemented and the resources needed to identify, use, and protect the essential records needed to meet operational responsibilities under national security emergencies or other emergency or disaster conditions or to protect the Government's rights or those of its citizens.


6. PROCEDURES

The steps required for maintaining Essential Records in the CRC:

- Enter identified Essential Records in the Versatile Enterprise (VE) database and check the Vital Records box on the Files screen.
- Clearly label the essential records in the R10 Regional Records section of the CRC so First Responders can identify them in the event of an emergency.
- Update the collection with any essential records that are submitted or approved by the RLO for inclusion, as needed, and remove and destroy outdated copies.
- Notify the RLO of damage to Vital Records should an emergency occur.

7. RELATED DOCUMENTS

- Continuity of Operations (COOP) Policy (2030.1A)

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- EPA R10 COOP Manual
 - Developing and Maintaining a Vital Records Program
 - National Security Emergency Preparedness Policy (2040.1A1)
 - Records Management Manual
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8. ROLES AND RESPONSIBILITIES

It is the responsibility of:

- R10 Program staff to identify and provide copies of Essential Records to the Records Liaison Officer (RLO).
 - R10 RLO to provide Essential Records to the R10 Regional Records staff.
 - The R10 Regional Records Staff at the CRC to protect essential records located in the CRC and ensure they can be found quickly when required.
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9. WAIVERS

Does not apply.

10. RELATED POLICIES, STANDARDS AND GUIDANCE

- Continuity of Operations (COOP) Policy (2030.1A)
 - EPA R10 COOP Plan
 - Developing and Maintaining a Vital Records Program
 - National Security Emergency Preparedness Policy (2040.1A1)
 - Records Management Manual
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11. MATERIAL SUPERSEDED

Not applicable.

12. ADDITIONAL INFORMATION

For questions about these procedures, please contact Mike Wells, the R10 Records Liaison Officer, (206) 553-4252.
